

Mail to:
State of California
Department of Corporations
980 9th Street, Suite 500
Sacramento, CA 95814-2725

Fee: \$300
File No. _____
Date of Application _____

DEPARTMENT OF CORPORATIONS
STATE OF CALIFORNIA

APPLICATION BY NOTIFICATION
PURSUANT TO CORPORATIONS CODE SEC. 25211(b)
FOR
BROKER-DEALER CERTIFICATE

(Only for Use in Connection with Applications and Amendments to Applications for Broker-Dealer Certificate Pursuant to Section 25211(b), Corporations Code (Application by Notification), and Section 260.241.4, Title 10, California Code of Regulations.)

1. Date of Notice: _____

2. () Original Notice () Amended Notice

3. Name of Broker-Dealer _____ Address of Principal Office _____

4. Name and address of officer or partner of the broker-dealer who is to receive compliance and information communications from the Department and who is responsible for disseminating the same within the broker-dealer's organization.
Name _____ Title _____
Address _____ Telephone () _____

(See Corporations Code Section 25245)

5. The following representations are made to the Commissioner of Corporations by the broker-dealer:

a. The broker-dealer has a currently effective registration as a broker-dealer under the Securities Exchange Act of 1934 (15 USC 78a et seq.).

b. The broker-dealer is a member in good standing of the self-regulatory organizations checked:
() NYSE () AMEX () PSE () NASD

c. Check the applicable box:

() (1) The broker-dealer has never had a certificate as a broker-dealer, investment adviser or agent revoked, or an application for such a certificate denied, under the Corporate Securities Law of 1968 or any predecessor statute.

() (2) The Commissioner has by order waived the denial or revocation of a certificate as a broker-dealer, investment adviser or agent heretofore issued to the broker-dealer.

6. Exhibits. Attach the following exhibits:

- a. Unless the broker-dealer is a California corporation, or unless already on file with the Commissioner, attach a copy of Form 260.165 (Consent to Service of Process).
- b. Attach clearly legible copies of Page 1, Item 2 on Page 2, Item 10 on Page 5 and Schedules A and if applicable Schedules B, C, D, DRP or E of Form BD (Uniform Application for Broker-Dealer Registration) (17 CFR 249.501) of the broker-dealer, as currently on file with the Securities and Exchange Commission.

NOTE: Social Security Numbers: In accordance with Section 7 of the Privacy Act of 1974 (PL. 93-579), the following information is provided in connection with the disclosure of social security account numbers in the Schedules to Form BD.

Disclosure of a social security account number shall be considered a voluntary disclosure. A social security account number is solicited pursuant to one or more of the following authorities:

*Sections 25211 and 25231, Corporations Code.
Sections 260.211 and 260.231, Title 10, California Code of Regulations.*

Uses to be made of social security account numbers, solicited by Form BD and the Schedules thereto are:

- A. *For all persons disclosing social security account numbers, the number may be used, in addition to other information provided, to conduct a background investigation of the individual by the Department of Justice's Identification and Information Branch or by other federal, state or local law enforcement agencies.*
- B. *The completed form, including any disclosed social security account numbers, shall become a public record and available to members of the public pursuant to the provisions of the Public Records Act (Government Code Sections 2650 et seq.).*
- C. *Attach a completed Customer Authorization of Disclosure of Financial Records on Form QR 500.261.*

7. Applicant's Minimum Net Capital Requirement: \$_____

8. Applicant's Fiscal Year Ends: ____/____ (Month/Day)

9. Investment Adviser Activities:

If the broker-dealer performs investment advisory services for which it receives special compensation and proposes to rely upon the exemption in Section 25205 of the Corporations Code from the investment adviser certification requirements in Section 25230 of the Corporations Code, attach a copy of Part II of Form ADV (Uniform Application for Investment Adviser Registration) (17 CFR 279.1).

10. Execution:

By _____

(Title)